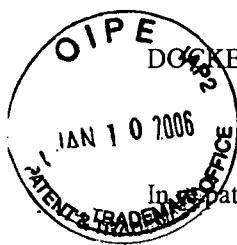


1fw



DOCKET NO.: MS306455.01/MSFTP519US

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent application of

Applicant: **Douglas R. Beck et al.**  
Serial No.: **10/693,072**  
Filed: **October 24, 2003**  
For: **SCALABLE SYNCHRONOUS AND ASYNCHRONOUS PROCESSING OF MONITORING RULES**  
Art Unit: **2157**  
Examiner: **Unknown**

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

1. Pursuant to 37 C.F.R. §1.97 and §1.98, and in compliance with 37 C.F.R. §1.56, the Office's attention is directed to the patents, publications and other information listed on the attached PTO-1449. A copy of each listed document is enclosed except for: (a) pending applications; (b) those previously cited or submitted to the Office in the following application(s) upon which this application relies for an earlier filing date under 35 U.S.C. §120; and/or (c) U.S. Patent(s) and published applications(s).

Serial No.: \_\_\_\_\_  
Filing Date: \_\_\_\_\_

Regarding any document, publication or other information for which a date is not given on the attached PTO-1449, Applicant(s) believe(s) the same may qualify as "prior" art to this application and should be treated accordingly, although Applicant(s) reserve(s) the right to contest the prior art status of any document, publication or information, should issue arise.

2. Regarding each listed document that is not in the English language, an English-language translation accompanies this Statement as indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth in the following document(s):

- (a) ☐ Copy of each English language version of a search report indicating the degree of relevance found by the foreign office of each document being submitted from the search report.
- (b) ☐ Attachment entitled "Concise Explanation of Relevance of Non-English Language Documents".

3. Pursuant to 37 C.F.R. §1.97(b) this Statement is being filed (one must be checked):

- (a) ☐ Within 3 months of the filing date or date of entry into the National Stage.
- (b) ☒ Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R. §1.17(p) to Deposit Account No. 50-1063 for consideration of this Statement.
- (c) ☐ Before the mailing date of an Office Action after the filing of a request for continued examination under 1.114.

- (d) ☐ After the period set forth in 37 C.F.R. §1.97(b) but before the mailing date of either a final action or a notice of allowance.
- (1) ☐ The required certification is given below, or
- (2) ☐ Regarding the fee set forth in 37 C.F.R. §1.17(p) for consideration of this Statement :
- (i) ☐ Enclosed is a check covering the fee;
- (ii) ☐ Charge the fee set forth in 37 C.F.R. §1.17(p) to Deposit Account No. 50-1063; or
- (iii) ☐ Enclosed is a credit card payment form covering the fee.
- (e) ☐ After the mailing date of either a final action or a notice of allowance, but before payment of the issue fee. Petition hereby is made for consideration of this Statement and the required certification is indicated below. Regarding the fee set forth in 37 C.F.R. §1.17(i)(1) for consideration of this Statement:
- (1) ☐ Enclosed is a check covering the fee;
- (2) ☐ Charge the fee set forth in 37 C.F.R. §1.17(i)(1) to Deposit Account No. 50-1063; or
- (3) ☐ Enclosed is a credit card payment form covering the fee.

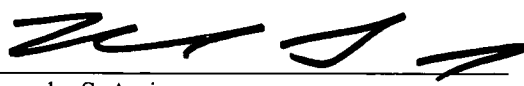
4. Certification (if applicable)

- (a) ☐ The undersigned hereby certifies that each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this Statement.
- (b) ☐ The undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the undersigned's knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than 3 months prior to the filing of this Statement.

5. The Commissioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account No. 50-1063.

Respectfully Submitted,

By


  
Himanshu S. Amin  
Reg. No. 40,894

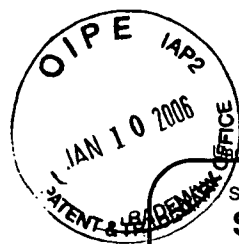
Amin & Turocy, LLP  
24<sup>TH</sup> Floor, National City Center  
1900 East 9<sup>th</sup> Street  
Cleveland, Ohio 44114  
(216) 696-8730

CERTIFICATE OF MAILING

I hereby certify that this correspondence (along with any paper referenced as being attached or enclosed) is being deposited on the below date with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450. Alexandria, VA 22313-1450.

1-5-04  
Date

  
Himanshu S. Amin



Substitute for form 1449A/PTO

# **SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet

1

of

3

## **Complete if Known**

Application Number	10/693,072
Filing Date	October 24, 2003
First Named Inventor	Douglas R. Beck et al.
Art Unit	2157
Examiner Name	Unknown
Attorney Docket Number	MS306455.01/MSFTP519US

## **U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
		US- 2004/0181541 A1	12-16-2004	Groenendaal et al.	
		US- 2005/0172306 A1	08-04-2005	Agarwal et al.	
		US- 2002/0059425 A1	05-16-2002	Belfiore et al.	
		US- 2004/0031038 A1	02-12-2004	Hugly et al.	
		US- 6,012,152 A	01-04-2000	Douik et al.	
		US- 2005/0097146 A1	05-05-2005	Konstantinou et al.	
		US- 5,732,234	03-24-1998	Vassiliadis et al.	
		US- 2002/0147726 A1	10-10-2002	Yehia et al.	
		US- 2002/0049715 A1	04-25-2002	Serrano-Morales et al.	
		US- 2004/0111638 A1	06-10-2004	Yadav et al.	
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			

## **FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				

Examiner  
Signature

/Loren Chauhan/ (04/30/2008)

Date

Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /L.C./

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

<b>Substitute for form 1449B/PTO</b> <b>SUPPLEMENTAL</b> <b>INFORMATION DISCLOSURE</b> <b>STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)			<b>Complete if Known</b>		
			Application Number	10/693,072	
			Filing Date	October 24, 2003	
			First Named Inventor	Douglas R. Beck et al.	
			Art Unit	2157	
			Examiner Name	Unknown	
Sheet	2	of	3	Attorney Docket Number	MS306455.01/MSFTP519US

NON PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.		T <sup>2</sup>
		International Search Report dated October 14, 2005 mailed December 2, 2005 for PCT Application Serial No. PCT/US04/22378, 6 pages.		
		T. BERNERS-LEE et al., Uniform Resource Identifiers (URI): Generic Syntax, Network Working Group, August 1998, pp. 1-38.		
		ALONG LIN, A New Model-Based Automated Diagnosis Algorithm, February, 1998, pp. 1-6.		
		B. RAVINDRAN, Engineering Dynamic Real-Time Distributed Systems: Architecture, System Description Language, and Middleware, IEEE Transactions on Software Engineering, January 2002, pp. 30-57, Vol. 28, No. 1.		
		T. ROSCOE et al., InfoSpect: Using A Logic Language for System Health Monitoring in Distributed Systems, Proceedings of the SIGOPS European Workshop, September 2002, pp. 1-7, Saint-Emilion, France.		
		F. STEIMANN et al., Model Based Diagnosis for Open Systems Fault Management, AI Communications, 1999, 12 pages.		
		V. SUGUMARAN et al., A Semantic-Based Approach to Component Retrieval, The DATA BASE for Advances in Information Systems, pp. 8-24, Summer 2003, Vol. 34, No. 3.		
		International Search Report dated February 15, 2005 mailed March 4, 2005 for PCT Application Serial No. PCT/US04/22275, 5 pages.		
		HEWLETT-PACKARD, Event Correlation Services Designer Overview & Features, viewed at <a href="http://www.openview.hp.com/products/ovocd/index.html">http://www.openview.hp.com/products/ovocd/index.html</a> , 1994-2003, 2 pages.		
		HEWLETT-PACKARD, Event Correlation Services Designer's Guide, HP OpenView, pp. 1-236, September 1998.		

Examiner Signature	/Loren Chauhan/ (04/30/2008)	Date Considered	
--------------------	------------------------------	-----------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /L.C./

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449B/PTO <b>SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)			<b>Complete if Known</b>		
			Application Number	10/693,072	
			Filing Date	October 24, 2003	
			First Named Inventor	Douglas R. Beck et al.	
			Art Unit	2157	
			Examiner Name	Unknown	
Sheet	3	of	3	Attorney Docket Number	MS306455.01/MSFTP519US

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		IBM CORPORATION, Rule Builder's Guide, Version 3.8, pp. 1-450, 2002.	
		COMPUTER ASSOCIATES INTERNATIONAL, INC., Using the Performance Neugent Guide, 1999-2000, 99 pages.	
		COMPUTER ASSOCIATES INTERNATIONAL, INC., Working with Neugents Guide, 1999, 35 pages.	
		F. MANOLA et al., RDF Primer W3C Working Draft 10 October 2003, W3C, pp. 1-119.	
		J. KUNZE, Functional Recommendations for Internet Resource Locators, <a href="http://www.ietf.org/rfc/rfc1736.txt">http://www.ietf.org/rfc/rfc1736.txt</a> , February 1995, 10 pages.	
		K. SOLLINS, Functional Requirements for Uniform Resource Names, <a href="http://www.ietf.org/rfc/rfc1736.txt">http://www.ietf.org/rfc/rfc1736.txt</a> , December 1994, 7 pages.	

Examiner Signature	/Loren Chauhan/ (04/30/2008)	Date Considered	
--------------------	------------------------------	-----------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /L.C./